



## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/779,412	02/13/2004	Guillermo C. Bazan	7030712001

CONFIRMATION NO. 7769

## FORMALITIES LETTER



\*0C000000012616882\*

Bingham McCutchen LLP  
 Suite 1800  
 Three Embarcadero Center  
 San Francisco, CA 94111-4067

Date Mailed: 05/12/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$65** for a Small Entity

- **\$65** Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria VA 22313-1450

08/30/2004 MAHME1 00000065 502518 10779412

01 FC:2051 65.00 DA

*A copy of this notice **MUST** be returned with the reply.*

Jamara Conghman

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FREE TRANSMITTAL**  
**for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 275

**Complete If Known**

Application Number	10/779,412
Filing Date	February 13, 2004
First Named Inventor	Guillermo Bazan
Examiner Name	Not yet assigned
Art Unit	1632
Attorney Docket No.	UC/030712001

**METHOD OF PAYMENT (check all that apply)**
☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account:

Deposit Account Number: 50-2518

Deposit Account Name: Bingham McCutchen LLP

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.
**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	770	2001	365	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1)

(\$ 0)

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
-20 **	= 0	X	= 0
-3 **	= 0	X	= 0
Multiple Dependent	X		= 0

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 0)

\*\* or number previously paid, if greater; For Reissues, see above

**3. ADDITIONAL FEES**

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	65
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	210
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451*	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (g)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810*	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2601	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 275)

**SUBMITTED BY**

Name (Print/Type)	David W. Maher	Registration No. (Attorney/Agent)	40,077	Telephone	850-849-4809
Signature	<i>David W. Maher</i>	Date	August 24, 2004		

Complete (if applicable)

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-766-9199) and select option 2.



Docket No. UC7030712001

**Certificate of Mailing/Transmission (37 C.F.R. § 1.8(a)):**

[X] Pursuant to 37 C.F.R. § 1.8, I hereby certify that this paper and all enclosures are being deposited with the United States Postal Service as first class mail on the date indicated below in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Dated: August 24, 2004

Name of Person Certifying: Diane Allard

Printed Name: Diane Allard

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application No.: 10/779,412  
Applicant: Guillermo BAZAN, Shu WANG, Bin LIU  
Assignee: The Regents of the University of California  
Filing Date: February 13, 2004  
Title: METHODS AND COMPOSITIONS FOR DETECTION AND ANALYSIS OF  
POLYNUCLEOTIDE-BINDING PROTEIN INTERACTIONS USING LIGHT  
HARVESTING MULTICHROMOPHORES  
Examiner: Not yet assigned  
Group Art Unit: 1632  
Docket No.: UC/7030712001

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Submission of Missing Parts of Application Under 37 C.F.R. 1.53**

Sir:

In response to the Notice of Missing Parts of Application mailed on May 12, 2004, enclosed are the following items for filing in the above-referenced U.S. Patent Application:

- ☒ Declaration and Power of Attorney [2] page(s)  
Payment for surcharge for late filing ☒ \$65.00 *small entity* ☐ \$130.00 *large entity*
- ☒ A Petition for Extension of Time. (2 months), [2] page(s) Fee \$ 210.00
- ☒ Applicant(s) claim Small Entity Status under 37 CFR § 1.27.
- ☒ Copy of Notice of Missing Parts of Application dated May 12, 2004.
- ☒ Return Postcard.

**TOTAL FEES: \$ 275.00**

- ☒ Conditional Petition for Extension of Time: An extension of time is requested to provide for timely filing if an extension of time is still required after all papers filed with this communication have been considered.
- ☒ Please charge the above fee(s) to Deposit Account No. 50-2518, Docket No. 7030712001 in the amount of \$ 275.00 to cover the above fees. *A duplicate copy of this sheet is attached.*
- ☒ The Commissioner is hereby authorized to charge payment of any additional fees due or credit any overpayment to Deposit Account No. 50-2518, Docket No. 7030712001. *A duplicate copy of this sheet is enclosed.*

Having now complied with all of the requirements of 37 C.F.R. 1.53, applicant respectfully requests that this application be placed upon the files for examination.

DATE: August 24, 2004

Respectfully submitted,

By: 

David W. Maher  
Registration No. 40,077

Bingham McCutchen LLP  
Three Embarcadero Center, Suite 1800  
San Francisco, California 94111  
Telephone: (650) 849-4908  
Telefax: (650) 849-4800

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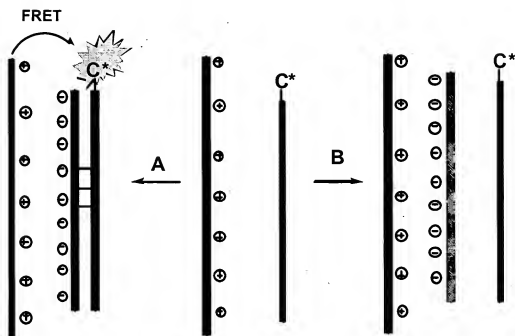
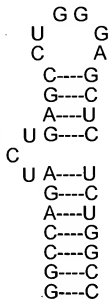
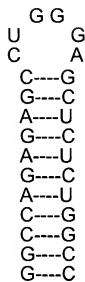


Fig. 1



HIV-1 TAR RNA



## dTAR RNA

Fig. 2

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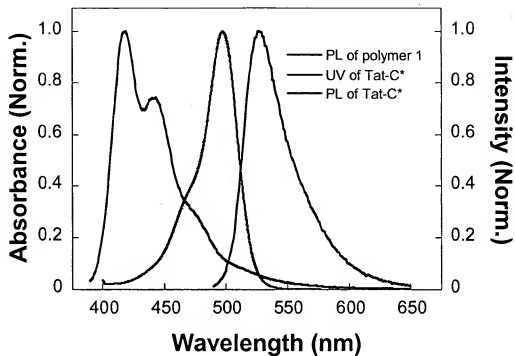


Fig. 3



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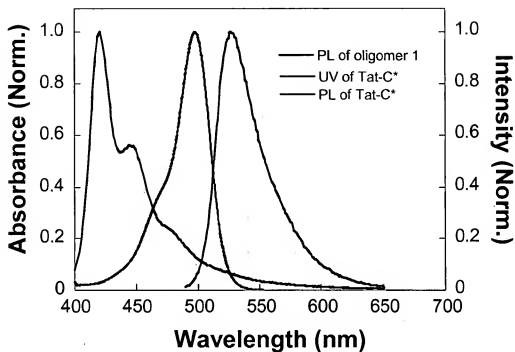


Fig. 4

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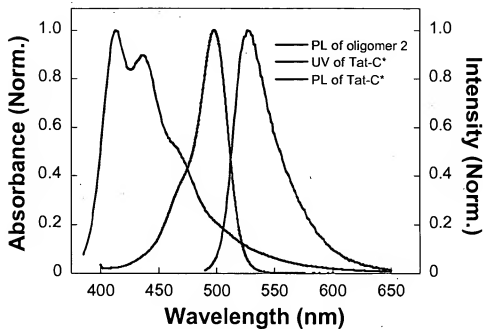


Fig. 5

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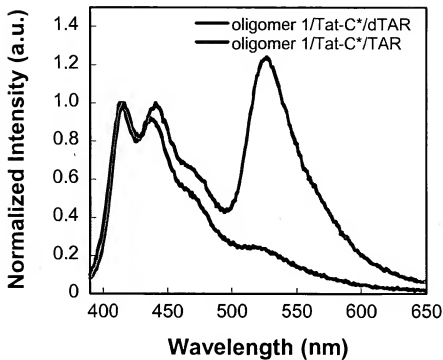


Fig. 6

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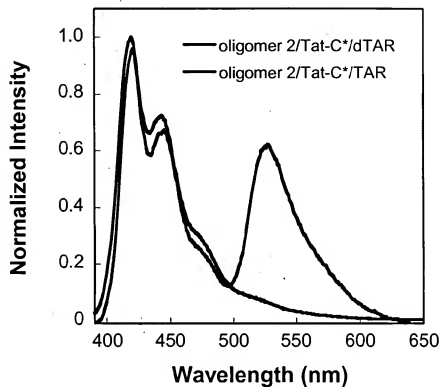


Fig. 7

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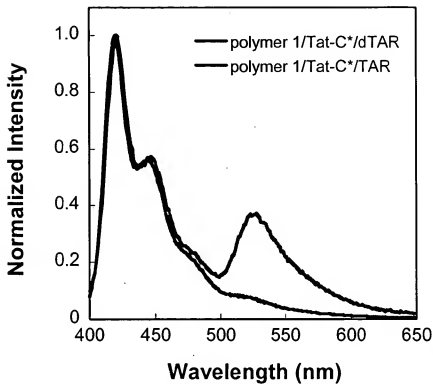


Fig. 8

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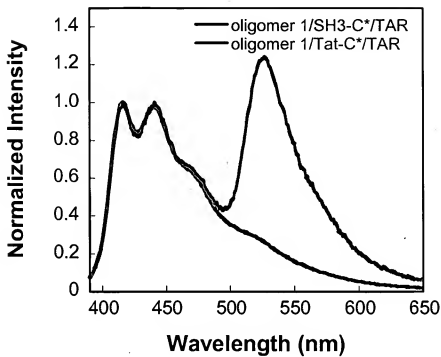


Fig. 9

## Application Data Sheet

### Application Information

Filing Date:: 02/13/2004

Application Type:: Utility

Subject Matter:: Utility

Suggested Group Art Unit:: None

CD-ROM or CD-R?:: None

Title:: METHODS AND COMPOSITIONS FOR  
DETECTION AND ANALYSIS OF  
POLYNUCLEOTIDE-BINDING PROTEIN  
INTERACTIONS USING LIGHT  
HARVESTING MULTICHROMOPHORES

Attorney Docket Number:: 7030712001

Request for Early Publication?:: No

Request for Non-Publication?:: No

Suggested Drawing Figures:: No

Total Drawing Sheets:: No

Small Entity:: Yes

Petition included?:: No

Secrecy Order in Parent Appl.?:: No

### Applicant Information

Applicant Authority type:: Inventor

Primary Citizenship Country:: US

Status:: Full Capacity

First Name:: Guillermo

**Middle Initial::** C

**Last Name::** Bazan

**City of Residence::** Santa Barbara

**State or Province of Residence::** CA

**Country of Residence::** US

**Street of mailing address::** 1068 Cheltenham

**City of mailing address::** Santa Barbara

**Country of mailing address::** US

**State or Province of mailing address::** CA

**Postal or Zip Code of mailing address::** 93106

**Applicant Authority type::** Inventor

**Primary Citizenship Country::** People's Republic of China

**Status::** Full Capacity

**First Name::** Bin

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**Last Name::** Liu

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**State or Province of Residence::** CA

**Country of Residence::** US

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**City of mailing address::** Goleta

**Country of mailing address::** US

**State or Province of mailing address::** CA

**Postal or Zip Code of mailing address::** 93117

**Applicant Authority type::** Inventor



**Primary Citizenship Country::** People's Republic of China  
**Status::** Full Capacity  
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**Middle Initial::**  
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**Country of mailing address::** US  
**State or Province of mailing address::** CA  
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### **Correspondence Information**

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**Country of mailing address::** US  
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## Representative Information

Representative Customer Number:: 23639

Representative Designation::	Registration Number::	Name::
Primary	40,077	David W. Maher

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Guillermo C. Bazan, Shu Wang, Bin Liu  
Assignee: The Regents of the University of California  
Filing Date: February 13, 2004  
Serial No.: Unassigned  
Title: METHODS AND COMPOSITIONS FOR DETECTION AND ANALYSIS OF  
POLYNUCLEOTIDE-BINDING PROTEIN INTERACTIONS USING LIGHT  
HARVESTING MULTICHROMOPHORES

Examiner: Unassigned  
Group Art Unit: Unassigned

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Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

PETITION FOR FILING COLOR DRAWINGS (MPEP §1.84(a)(2))

Sir:

The applicants respectfully request approval to include color drawings with the present application. The drawings depict the results of scientific experiments which inherently contain, and are most clearly communicated to one of skill in the art through the use of, color. Three sets of drawings are included with the Petition as required by 37 C.F.R. § 1.84(2)(ii). Granting of this petition is respectfully requested.

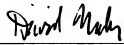
Please charge Deposit Account No. 50-2518, Docket No. 2019629-7030712001, in the amount of \$130.00 to cover the petition fee as set forth in 37 C.F.R. §1.17(h), to be entered into the above application. *A duplicate of this sheet is enclosed.*

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-2518, Docket No. 2019629-7030712001. *A duplicate of this sheet is enclosed.*

Date: February 13, 2004

Respectfully submitted,

02/20/2004 GWORDOF1 00000057 502518 10779412  
03 FC:1460 130.00 DA

By:   
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